

2177  
JPW

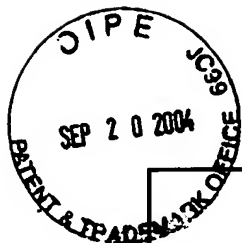
PTO/SB/21 (04-04)

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/010,086	
	Filing Date	December 6, 2001	
	First Named Inventor	Stanley, Robert A.	
	Art Unit	2177	
	Examiner Name	Jack M. Choules	
Total Number of Pages in This Submission	7	Attorney Docket Number	022151-000220US

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard
Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Townsend and Townsend and Crew LLP Philip H. Albert Reg. No. 35,819
Signature	
Date	9/17/04

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Julie Taylor Clough		
Signature		Date	Sept. 17, 2004

**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

<b>Application Number</b>	10/010,086
<b>Filing Date</b>	December 6, 2001
<b>First Named Inventor</b>	Robert Stanley, et al.
<b>Title</b>	System, Method, Software Architecture, and Business Model for an Intelligent Object Based Information Technology Platform
<b>Art Unit</b>	2177
<b>Examiner Name</b>	Jack Choules
<b>Attorney Docket Number</b>	022151-000220US

I hereby appoint:

☒ Practitioners associated with the Customer Number**20350**

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

☐ Firm or Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).**SIGNATURE of Applicant or Assignee of Record**

<b>Name</b>	ROBERT STANLEY		
<b>Signature</b>	[Signature] Vice President, CTO		
<b>Date</b>	SEPT 7, 2004	<b>Telephone</b>	510 420 8400

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.



PTO/SB/96 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Attorney Docket No. 022151-000220US

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Robert Stanley, et al.Application No./Patent No.: 10/010,086Filed/Issue Date: December 6, 2001Entitled: System, Method, Software Architecture, and Business Model for an Intelligent Object Based Information Technology PlatformIO Informatics, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

- ☐ Copies of assignments or other documents in the chain of title are attached.

**[NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

September 7, 2004

Date

Robert Stanley  
Typed or printed name  
[Signature]  
Signature  
Vice President, CTO  
Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Form PTO-1595

(Rev. 10-02)

OMB No. 0651-0027 (exp. 5/31/2012)

Recordation Form Cover Sheet  
PATENTS ONLYU.S. Department of Commerce  
U.S. Patent and Trademark Office

Tab settings ⇨⇨⇨ ▼ ▼ ▼ ▼ ▼ ▼ ▼

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

Sheldon Engelhorn and Susan M. Engelhorn Revocable  
Trust DTD 11-3-95Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No.

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

## 2. Name and address of receiving party(ies)

Name: IO Informatics

Internal Address:

Street Address: 2000 Powell Street, Suite 520

City: Emeryville State: CA ZIP: 94608

Additional name(s) and address(es) attached? ☐ Yes ☒ No

Execution Date: November 13, 2003

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 10/010,086

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Philip H. Albert  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, Eighth Floor  
San Francisco, California 94111-3834  
(415) 576-0200

## 6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): —————\$40.00

- ☐ Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

## DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Philip H. Albert, Atty. Reg. No. 35,819

Name of Person Signing



Signature

August 3, 2004

Date

Total number of pages including cover sheet, attachments and documents: 4

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

## **ASSIGNMENT OF PATENT RIGHTS**

**Sheldon Engelhorn and Susan M Engelhorn**, Revocable Trust DTD 11-3-95, located at 2520 Montgomery Ave, Cardiff by the Sea, California 92007 (hereinafter called the "Assignor"), hereby assigns certain patent rights to IO Informatics, a corporation organized and existing under the laws of Delaware, having a place of business at 2000 Powell St, Suite 520, Emeryville Ca 94608 (hereinafter called the "Assignee")

WHEREAS Assignor is the owner of the following Patent Applications:

### **APPLICATIONS**

Patent Application Serial No.: PCT/US01/47922

Filed: 12/06/01

**Title:** System, Method, Software Architecture and Business Model for an Intelligent Object Based Information Technology Platform

Assignment recorded: July 11, 2003

Reel / Frame:

Patent Application Serial No.: 10/010,086

Filed: 12/06/01

**Title:** System Method, Software Architecture and Business Model for an Intelligent Object Based Information Technology Platform

Assignment recorded: July 11, 2003

Reel / Frame:

Patent Application Serial No.: 10/010,724

Filed: 12/06/01

**Title:** Intelligent Molecular Object Data Structure and Method for Application in Heterogeneous Data Environments with High Data Density and Dynamic Application Needs

Assignment recorded: July 11, 2003

Reel / Frame:

Patent Application Serial No: 10/010,727

Filed: 12/06/01

**Title:** Intelligent Object Handling Device and Method for Application in Heterogeneous Data Environments with High Density and Dynamic Application Needs

Assignment recorded: July 11, 2003

Reel/Frame:

Patent Application Serial No: 10/010,754

Filed: 12/06/01

**Title:** Data Pool Architecture, System and Method for Intelligent Object Data in Heterogeneous Data Environments

Assignment recorded: July 11, 2003

Reel/Frame:

**AND WHEREAS** Assignor has agreed with Assignee for the transfer to it of the whole right, title and interest in and to said Applications and to said Letters Patent, and inventions therein,

**NOW THIS ASSIGNMENT WITNESSETH** that in pursuance of the said agreement and in consideration of the sum of One U.S. Dollar (\$1.00) paid by Assignee to Assignor (the receipt of which Assignor hereby acknowledges), Assignor, as beneficial owner, hereby assigns and transfers to Assignee said inventions, said Applications and said Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therein and thereon, and in and to any and all divisions, continuations, and continuations in part of said applications, or reissues or extensions of said Letters Patent, and all rights under the International Convention for the Protection of Industrial Property, and the full exclusive benefits thereof, and all rights, privileges and advantages appertaining thereto, including any and all rights to damages, profits or recoveries of any nature for past infringement of said Letters Patent, and the payment of any and all maintenance fees, taxes, and the like, TO HOLD the same unto and to the use of Assignee, its successors and assigns absolutely during the residue of the respective terms for which the said Letters Patent were granted and during any such terms, and for any and all rights extending from said applications and reissues.

**ASSIGNOR** hereby covenants that Assignor has full right to convey the entire interest herein being assigned and represents that Assignor has not executed and will not execute any agreements inconsistent with this Assignment or to the detriment of the patent applications, and inventions being assigned hereby.

AND for the same consideration, Assignor hereby covenants and agrees to and with Assignee, its successor, legal representatives and assigns that, at the time of execution and delivery of these presents, Assignor is the sole and lawful owner of the entire right, title and interest in and to the said inventions and the application for Letters Patent above-mentioned, that the same are unencumbered, and that assignor has *good and full right* and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, Assignor hereby covenants and agrees to and with Assignee, its successors, legal representatives and assigns that Assignor will, whenever counsel of Assignee, or the counsel of its successors, legal representatives and assigns, shall advise; that any proceeding in connection with said inventions, or that any division, continuation or continuation-in-part of any Letters Patent to be obtained therein, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to Assignor, its successors, legal representatives and assigns, but at the cost and expense of the Assignee, its successors, legal representatives and assigns.

Executed at *CANBERRA, CA*

this *13* day of *NOVEMBER*, 200*3*

Assignor: *SHARON CARLIFORN*

Signature: *[Signature]*

Printed Name:

Title: *TRUSTEE*